

FORM PTO 1390 (REV 5-93) US DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY DOCKET NUMBER 2001_0912A
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. §371		U.S. APPLICATION NO. 60/297,890 576 NEW
International Application No. PCT/JP00/08805	International Filing Date December 13, 2000	Priority Date Claimed December 13, 1999
Title of Invention OPTICAL DISK DEVICE		
Applicant(s) For DO/EO/US Kazuhiko KONO		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<ol style="list-style-type: none"> 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. §371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. §371. 3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. §371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. §371(b) and PCT Articles 22 and 39(1). 4. <input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date. 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. §371(c)(2)) <ol style="list-style-type: none"> a. <input checked="" type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau). ATTACHMENT A b. <input type="checkbox"/> has been transmitted by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US) 6. <input checked="" type="checkbox"/> A translation of the International Application into English (35 U.S.C. §371(c)(2)). ATTACHMENT B 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3)). <ol style="list-style-type: none"> a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> have been transmitted by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19. 9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. §371(c)(4)). 10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. §371(c)(5)). 		
Items 11. to 14. below concern other document(s) or information included:		
<ol style="list-style-type: none"> 11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. ATTACHMENT C 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input checked="" type="checkbox"/> A FIRST preliminary amendment including Proposed Drawing Amendments (Figs. 1 & 2). ATTACHMENT D <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. 14. <input checked="" type="checkbox"/> Other items or information: <ul style="list-style-type: none"> - Notification Concerning Submission or Transmittal of Priority Document - ATTACHMENT E - <u>unexecuted</u> Declaration and Power of Attorney with Cover Letter - ATTACHMENT F - substitute Formal Drawings (Figs. 1-11) with Cover Letter - ATTACHMENT G 		
THE COMMISSIONER IS AUTHORIZED TO CHARGE ANY DEFICIENCY IN THE FEES FOR THIS PAPER TO DEPOSIT ACCOUNT NO. 23-0975		

U.S. APPLICATION NO. 09/89076 NEW	INTERNATIONAL APPLICATION NO. PCT/JP00/08805	ATTORNEY'S DOCKET NO. 2001_0912A																				
<p>15. <input checked="" type="checkbox"/> The following fees are submitted</p> <p>BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):</p> <p>Neither international preliminary examination fee nor international search fee paid to USPTO and International Search Report not prepared by the EPO or JPO \$1000.00 International Search Report has been prepared by the EPO or JPO \$ 860.00 International preliminary examination fee not paid at USPTO but international search paid to USPTO \$ 710.00 International preliminary examination fee paid to USPTO but claims did not satisfy provisions of PCT Article 33(1)-(4) \$ 690.00 International preliminary examination fee paid at USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$ 100.00</p>		CALCULATIONS PTO USE ONLY																				
ENTER APPROPRIATE BASIC FEE AMOUNT =		\$ 860.00																				
<p>Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).</p>		\$																				
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left; padding: 2px;">Claims</th> <th style="text-align: left; padding: 2px;">Number Filed</th> <th style="text-align: left; padding: 2px;">Number Extra</th> <th style="text-align: left; padding: 2px;">Rate</th> <th style="text-align: left; padding: 2px;"></th> </tr> </thead> <tbody> <tr> <td style="text-align: left; padding: 2px;">Total Claims</td> <td style="text-align: left; padding: 2px;">12 - 20 =</td> <td style="text-align: left; padding: 2px;">0</td> <td style="text-align: left; padding: 2px;">X \$18.00</td> <td style="text-align: left; padding: 2px;">\$</td> </tr> <tr> <td style="text-align: left; padding: 2px;">Independent Claims</td> <td style="text-align: left; padding: 2px;">8 - 3 =</td> <td style="text-align: left; padding: 2px;">5</td> <td style="text-align: left; padding: 2px;">X \$80.00</td> <td style="text-align: left; padding: 2px;">\$ 400.00</td> </tr> <tr> <td colspan="3" style="text-align: left; padding: 2px;">Multiple dependent claim(s) (if applicable)</td> <td style="text-align: left; padding: 2px;">+ \$270.00</td> <td style="text-align: left; padding: 2px;">\$</td> </tr> </tbody> </table>		Claims	Number Filed	Number Extra	Rate		Total Claims	12 - 20 =	0	X \$18.00	\$	Independent Claims	8 - 3 =	5	X \$80.00	\$ 400.00	Multiple dependent claim(s) (if applicable)			+ \$270.00	\$	\$1,260.00
Claims	Number Filed	Number Extra	Rate																			
Total Claims	12 - 20 =	0	X \$18.00	\$																		
Independent Claims	8 - 3 =	5	X \$80.00	\$ 400.00																		
Multiple dependent claim(s) (if applicable)			+ \$270.00	\$																		
<p><input type="checkbox"/> Small Entity Status is hereby asserted. Above fees are reduced by 1/2.</p>		\$																				
<p>SUBTOTAL =</p>		\$1,260.00																				
<p>Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).</p>		\$																				
<p>TOTAL NATIONAL FEE =</p>		\$1,260.00																				
<p>Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +</p>		\$																				
<p>TOTAL FEES ENCLOSED =</p>		\$1,260.00																				
<p></p>		<input type="checkbox"/> Amount to be refunded \$ <input type="checkbox"/> Amount to be charged \$																				
<p>a. <input checked="" type="checkbox"/> A check in the amount of <u>\$1,260.00</u> to cover the above fees is enclosed. A duplicate copy of this form is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. 23-0975 in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>23-0975</u>.</p>																						
<p>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</p>																						
<p>19. CORRESPONDENCE ADDRESS</p> <p style="text-align: center;">  000513 PATENT TRADEMARK OFFICE </p>		<p>By: </p> <p>Charles R. Watts, Registration No. 33,142</p> <p>WENDEROTH, LIND & PONACK, L.L.P. 2033 "K" Street, N.W., Suite 800 Washington, D.C. 20006-1021 Phone: (202) 721-8200 Fax: (202) 721-8250</p> <p>August 2, 2001</p>																				

{CHECK NO. **45788**}

[2001_0912A]

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FEES FOR THIS PAPER TO DEPOSIT
ACCOUNT NO. 23-0975

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Kazuhiko KONO : Attn: BOX PCT

Serial No. NEW : Docket No. 2001_0912A

Filed August 2, 2001

OPTICAL DISK DEVICE

[Corresponding to PCT/JP00/08805
Filed December 13, 2000]

COVER LETTER FOR APPLICATION FILED
WITHOUT EXECUTED DECLARATION

Assistant Commissioner for Patents,
Washington, DC 20231

Sir:

The above-identified application has been submitted without an executed oath or declaration.

It is respectfully requested that this application be assigned a serial number and awarded a filing date.

A duly executed oath or declaration pursuant to 37 CFR 1.63 will be submitted after notification by the U.S. Patent and Trademark Office.

A non-executed copy of the Declaration and Power of Attorney, containing the inventorship information, is attached. It is respectfully requested that all communications be directed to the firm indicated on the attached Declaration and Power of Attorney, namely:

WENDEROTH, LIND & PONACK, L.L.P.
2033 K Street, N.W., Suite 800
Washington, D.C. 20006-1021

The required U.S. Patent and Trademark Office Filing Fee is submitted herewith.

Respectfully submitted,

Kazuhiko KONO

By Charles R. Watts

Charles R. Watts
Registration No. 33,142
Attorney for Applicant

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August 2, 2001